

In the Claims

1-22. **(Cancelled)**

23. **(Currently Amended)** A method for providing restricted security distribution instructions to a transfer agent comprising the steps of:

receiving distribution information from a Venture Capitalist ("VC") in electronic form, the distribution information including data indicating for each participant in the distribution a name, an identification number, and a number of allocated securities;

importing the distribution information into a database system;

matching participants identified in the distribution information to participant information previously entered in the database system;

associating each respective participant in the distribution information with a contact from which instructions regarding a disposition of the allocated securities to each respective participant can be obtained;

indicating one or more contacts to ~~who must be~~ contacted to obtain distribution instructions for associated participants;

contacting the one or more contacts to obtain the distribution instructions;

storing the distribution instructions received from the one or more contacts in the database system;

generating a report including received distribution instructions for the participants in the distribution; and

providing the report to a transfer agent.

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2 24. **(Original)** The method of claim 23, further comprising the step of
3 scrubbing the received information prior to the importing step.
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5 25. **(Original)** The method of claim 23, wherein the step of matching
6 participants comprises the steps of:
7 identifying previously stored records in the database system containing
8 matching identification numbers;
9 indicating differences between data in identified records and the
10 distribution data received from the VC; and
11 indicating participants in the distribution for which no matching previously
12 stored record was found.
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14 26. **(Original)** The method of claim 23, further comprising the step of
15 defining distribution restrictions for a particular participant.
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17 27. **(Original)** The method of claim 23, wherein the step of indicating
18 comprises the step of dynamically indicating the contacts for participants in the
19 distribution and a contact status for the indicated contacts.
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21 28. **(Original)** The method of claim 23, further comprising the step of
22 upon the selection of an indicated contact indicating all open items for which the
23 contact must be contacted.
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1 29. **(Currently Amended)** The method of claim 23, wherein the ~~step of~~
2 ~~generating is performed on a periodic basis~~ contacting comprises directing a
3 human operator to manually contact the one or more contacts.
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5 30. **(Currently Amended)** The method of claim 23, wherein the ~~step of~~
6 ~~generating is performed on demand~~ storing comprises allowing a representative to
7 manually enter the distribution instructions into the database system.
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9 31. **(Original)** The method of claim 23, wherein the step of generating is
10 performed in response to the receipt of distribution instructions for at least one
11 participant.
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13 32. **(Previously Presented)** The method of claim 23, further comprising:
14 granting the transfer agent custody of the allocated securities for at least a
15 limited period of time, wherein the allocated securities are associated with
16 corresponding participants, and further wherein the transfer agent is configured to
17 perform incremental distributions of the securities in accordance with the
18 distribution instructions.
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20 33. **(Previously Presented)** The method of claim 23, wherein the
21 indicating further comprises sorting contacts in an order of urgency, such that
22 contacts associated with more exigent items are contacted before contacts
23 associated with less exigent items.
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1 **34. (Currently Amended)** A system for generating restricted security
2 distribution instruction reports suitable for use by a transfer agent, the system
3 comprising:
4 a database; accessible by at least one client computer system having access
5 ~~to the database;~~
6 a database import module configured to import into the database
7 distribution information received from an originating entity in electronic form, the
8 distribution information including data indicating for respective participants in the
9 distribution a name, an identification number, and a number of allocated
10 securities;
11 a participant matching module configured to match participants identified
12 in the distribution information to participant information previously stored in the
13 database;
14 a participant contact association module configured to associate each
15 participant in the distribution with a contact from which instructions regarding the
16 disposition of the securities allocated to the participant can be obtained;
17 a call queue module configured to indicate contacts to ~~who must~~ be
18 contacted to obtain distribution instructions for associated participants;
19 a contact module configured to facilitate contact of the contacts and
20 procurement of the distribution instructions;
21 at least one disposition module configured to store distribution instructions
22 received from the contacts; and
23 a participant instruction report module configured to generate a report
24 ~~containing~~ including received instructions for the participants, the report suitable
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1 for electronic transfer to the transfer agent.
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3 35. **(Original)** The system of claim 34, further comprising a scrubbing
4 module configured to format the received information and to verify that required
5 data fields are present prior to processing of the received information by the
6 import module.
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8 36. **(Original)** The system of claim 34, wherein the participant matching
9 module is configured to:

10 identify previously stored records in the database containing matching
11 identification numbers;

12 indicate differences between data in identified records and the distribution
13 data received from the originating entity; and

14 indicate participants in the distribution for which no matching previously
15 stored record was found.
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17 37. **(Original)** The system of claim 34, wherein the call queue module is
18 configured to dynamically indicate contacts for participants in the distribution and
19 a contact status for the indicated contacts.
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21 38. **(Original)** The system of claim 34, further comprising a contact detail
22 module configured to, upon the selection of an indicated contact, indicate all open
23 items for which the selected contact must be contacted.
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1 39. **(Currently Amended)** The system of claim 34, wherein the participant
2 ~~instruction report module is configured to generate the report on a periodic basis~~
3 contact module is configured to prompt a human operator to contact the contacts
4 and procure the distribution instructions.

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6 40. **(Currently Amended)** The system of claim 34, wherein the participant
7 ~~instruction report module is configured to generate a report on demand~~ disposition
8 module is further configured to allow a human operator to manually enter the
9 distribution instructions procured from the contacts such that the distribution
10 instructions can be stored.

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12 41. **(Original)** The system of claim 34, wherein the participant instruction
13 report module is configured to generate a report in response to the receipt of
14 instructions for at least one participant.

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16 42. **(Currently Amended)** The system of claim 34, wherein the participant
17 instruction report module is configured to generate incremental reports.

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19 43. **(Original)** The system of claim 34, wherein the database comprises a
20 plurality of tables including tables forming:

21 an allotment cluster configured to store information related to distribution
22 tasks to be performed by the facilitator;

23 a participant cluster configured to store individual account level reference
24 information;

1 a content cluster configured to store contact reference information; and
2 a project cluster configured to store information related to specific security
3 distribution projects.
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